

## DEPARTMENT OF ENERGY

### ADMINISTRATIVE RECORDS SCHEDULE 17: CARTOGRAPHIC, AERIAL PHOTOGRAPHIC, ARCHITECTURAL, AND ENGINEERING RECORDS

11-28-01

DOE creates and receives cartographic, aerial photographic, architectural, and engineering design records in connection with official activities. Many of these records have continuing historical value after they are no longer of use to the Department. This records schedule covers only disposable records. Guidelines for identifying and scheduling the records of continuing value are provided in "Managing Cartographic and Architectural Records: An Instructional Guide." This Guide must be used in conjunction with this schedule to ensure proper disposition of all Departmental cartographic, aerial photographic, architectural, and engineering design records.

This schedule covers cartographic records prepared during intermediate stages of publication, unannotated aerial photographic negatives and prints, and architectural and engineering records. Cartographic and aerial photographic records created before January 1, 1950, and architectural and engineering drawings created before January 1, 1921, must be brought to the attention of the National Archives before applying the disposition instructions in this schedule.

Covers records pertaining to the management and operation of DOE industrial facilities. Such facilities include, but are not restricted to, Naval, test, and production reactors; production facilities; laboratories; and separation plants. The records consist of a wide variety of facility management records such as progress, production, and status reports; quality control data files; equipment history and control records; special material accountability files; and product output summaries. Records accumulated in the operation of the facility would include such documents as logbooks; instrument monitoring charts; industrial X-rays and radiographs; equipment inspection and servicing records; work permits; and many other documents that are generated in the operation, monitoring, production, and maintenance of the plant and its equipment.

These records accumulated by contractor offices in the management, maintenance, and general upkeep of facilities such as buildings, structures, plants, laboratories, utilities, and houses, exclusive of design and construction drawings and related records covered by DOERS 14 and those Industrial Facility Records covered by DOERS 2. This schedule includes records documenting maintenance and repair of fixture-type equipment such as boilers, heating and ventilating systems, and equipment requiring the use of design and construction drawings to make repairs.

Records include those generally maintained by property and plant management personnel fulfilling their responsibility for the management, control, accountability, maintenance, and operation of mobile or stationary equipment and personal property. Fixture-type equipment requiring use of

design and construction drawings for repair and maintenance is covered by Facility Records (DOERS 4). This schedule covers personal property, equipment, machinery, machine tools, vehicles, office equipment, accessory and auxiliary items, and spare parts, exclusive of motor vehicles (GRS 10) and Industrial Facility Records (DOERS 2). Equipment records may complement or supplement procurement and supply records and accounting records.

Equipment records may be segregated into groups by equipment kind, type, purpose, use, location, valuation, or other assigned category, e.g., plant, office, supplier-owned, personal-use, tool receipts, loaned property borrowed property, and controller-use equipment. Records may be either as brief or as detailed as is required to efficiently manage equipment consistent with its value, usage, or servicing requirements. In some instance, copies of a primary control record are used for additional secondary record or indexing purposes, e.g., a duplicate equipment inventory card is filed by name of accountable employee.

Guidelines are provided for the disposition of design and construction drawings and related records that have been created or received by DOE or DOE management and operating contractors in connection with official activities. Drawings refer to the graphic or engineering records that depict conceptual as well as precise measured information essential for the planning, design, and construction of facilities such as building, structures, plants, utilities, and other public works projects, as well as miscellaneous engineering and fabrication projects such as machinery and equipment. Related records include engineering studies, design calculations, project performance documentation, indexes and finding aids, specifications, and three dimensional models. Most design and construction records lose their usefulness after specific periods of time. Generally, drawings pertaining to the conceptual or preliminary design process lose their administrative usefulness after the final construction plans are accepted; these records should be considered inactive after the completion of the construction project. Precise measured drawings which are used and finalized during the construction process have a continuing value during the life of the facility especially for repair and maintenance needs. The finalized (“as-built”) construction drawings as well as repair and alteration drawings (or microform copies) should be considered active while the structure used, maintained, or owned by the Federal government.

After the design and construction files are no longer useful to DOE or contractors, certain records have continuing historical value, particularly for the architectural historian, historic preservationist, and social historian. Since it is uneconomic and unnecessary to retain a complete set of drawings and related records for each construction project sponsored by the Federal government, it is necessary to make a selection of records for permanent preservation. This selection must take into consideration not only the types of records but also the nature of the individual construction projects. The general intent of any selection should be based on documenting the structures and projects that are architecturally, historically, and technologically significant. Criteria for the selection of the significant records are contained in the notes following the schedule. The selection of individual buildings or project should be made by personnel with appropriate historical training subject to the approval of the National Archives and Records Service (NARA). However, any records created prior to 1-1-21, must be offered to NARA before applying the disposition

instructions in this schedule. This schedule relates primarily to records on the design and construction of buildings. However, the principles established here can also be applied to other static structures and miscellaneous engineering projects. Those record which are developed during the design process generally consist of:

**Initial Design Planning Records.** Drawing and sketches that are conceptual in nature, and architectural renderings, that show the basic design features of the project, including building perspective, elevations, floor plans, and other general features; order-of-magnitude cost estimates and performance schedules; and may include three-dimensional models prepared for illustration or presentation purposes.

**Advanced Planning Records.** These cover the pre-Title I design activity documentation, including construction project data sheets of other types of project proposals, conceptual design studies and reports, conceptual safety and environmental impact analyses, cost estimates, performance schedules, methods of project performance, and the design criteria for the project; and development of the project management plan.

**Preliminary (Title I) Design Records.** Title I design studies, and reports summarizing the design results (including more refined definition of project requirements, cost estimates, performance schedules, method of project performance, safety and environmental impact analyses) and preparation of preliminary drawings and construction specifications.

**Final (Title II) Design Records.** Title II (final working) drawings, final construction specifications, performance schedules, methods of project performance, final safety and environmental impact analyses (reports); and final project management plan for construction.

**Other Engineering and Design Records.** Engineering studies and reports, design calculations, analyses, and other engineering data and information developed during project planning and design which document and engineering and design decisions.

**Other Documents and Information.** Information, correspondence, and other records developed during the planning and design phases, essential to the performance of the processes but not essential for project record purposes following project completion.

Those records which pertain to or are developed during the construction process usually consist of:

**Final Working Drawings.** (Developed during Title II Design) Architectural and engineering drawings which consist of the master tracings which are acceptable reproduces. These drawings provide information about various aspects of the construction of the building or facility including architectural (floor plans, interior and exterior elevations, and sections), ornamental, structural, mechanical, electrical, heating, ventilating, and air-conditioning details, as well as site and landscaping plans. These are important records because they provide not only detailed instructions for the erection of the building, but also present a comprehensive and detailed picture of its design.

**Final Construction Specifications.** (Developed during Title II Design.) Detailed requirements for the project which identify materials and workmanship requirements, and explain the materials and equipment items depicted on the related working drawings.

**Project Management Plans for Construction.** (Developed during project planning and design.) Details of the project work breakdown structure; authorities and responsibilities of participants; performance diagram; and technical, cost, and schedule control systems for the project.

**“As Built” Drawings.** Annotated copies of final working drawings or additional drawings which show changes in the construction from the original design.

**Shop Drawings.** Detailed drawings prepared by construction contractors or subcontractors of particular parts of the building which they are to supply or by manufacturers of products to be fabricated or assembled in their shops. These drawings which include plans for architectural features and interior design such as tile and marble work, special cabinet work, elevators, or heating, ventilating, and air-conditioning systems, not only provide instructions for assembling the products on the job site, but may also be necessary of future operation and maintenance.

**Repair and Alteration Drawings.** Original drawings which depict repairs and alterations to the building as it was originally constructed.

**Standard Drawings.** Final drawings for standard details and other documents created in their preparation.

**Reports and Other Documentation.** Progress reports, construction completion reports, equipment specifications, operating and maintenance instructions (manuals), warranty data, final inspection and acceptance reports, and other information documenting the construction process.

**Other Documentation and Information.** Information, correspondence, and other records developed during the construction process, essential to performance of the process but not essential for project record purposes following project completion (such as interim process reports and other interim project activity information).

Criteria for the selection of architecturally, historically, and technologically significant files:

**Architectural Significance.**

- a. Original Design. Primary consideration should be given to those buildings and facilities which are essentially original in design. Although it may incorporate standard features, a uniquely designed building or facility is one that was designed to meet specific needs or functions, and whose basic design is not repeated in another building.
- b. Standard or Repetitive Design. If building or facilities use a standard or repetitive design, it is not necessary to permanently retain a file for each building. However, a file should be retained for the building or facility most representative of the basic design, for each variant of standard designs, and for each repetitive but slightly different design.
- c. Architectural Style. Buildings which embody the distinguishing characteristics of either a period or a regional architectural style.
- d. Innovations. Buildings or facilities which include architectural or engineering innovations.

**Historical Significance.**

- a. Administrative Functions and Activities. Buildings which are associated with the major functions of the Federal government (executive departments, agencies, and bureaus) and the major activities of the various Federal agencies.
- b. Noted Architect. Drawings by noted architects or engineers of both proposed and constructed buildings or facilities.
- c. Controversial. Buildings or facilities which were involved in controversy in regard to their design, construction, or utilization. Projects terminated because of cost overruns, safety hazards, and environmental hazards are included.

**Technological Significance.**

This category includes files for such projects as first-of-a-kind energy research, development, or demonstration projects of other unique building or facility projects. Since

this is a broad category which covers many different types of technical facilities, specific details have not been attempted. However, permanent records relating to these objects can be chosen more selectively than records relating to buildings. In general, files which show how the project was designed, constructed, and altered, should be retained for a selection of the most unique structures and for a representative sample of repetitive and similar structures.

A selection which is to be based on engineering and historical significance should consider projects which include engineering innovations or prototypes, projects which have achieved national acclaim or controversy, or projects which represent the major product of an agency (such as NASA's spacecraft or TVA's hydroelectric projects). Representative samples should be based on the type of structure or project, cost, and regional variation. Structures and criteria used by the Historic American Engineering Record and similar comprehensive lists can serve as a guideline and minimum standard.

It should be noted that comprehensive site development plans or master plans are closely related to maps. These comprehensive plans can be evaluated in terms of cartographic records while individual buildings and facilities within the system can be evaluated on the basis of this schedule.

**1. Cartographic Records Prepared During Intermediate Stages of Publication.**  
(GRS 17, item 1)

Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reduction, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose informational content is duplicated by the final published map.

Destroy when no longer needed.

**2. Vertical and Oblique Aerial Photography.** (NI-434-98-20)

Vertical and oblique film in black and white, color, or "false color," including related photo indexes (controlled or uncontrolled mosaics), flight line indexes, or coordinate grid systems used as finding aids.

- a. Unannotated duplicate copy negatives, internegatives, rectified negatives, and glass plate negatives.

Destroy when no longer needed for DOE use.

- b. Unannotated prints when original film negatives exist.

Destroy when no longer needed for DOE use.

[NOTE: Aerial photography means 1) Visual images of the surface of the earth, of other planetary bodies, or of the atmosphere, taken from airborne vehicles for the purpose of evaluating, measuring, or mapping the cultural and physical features of the landscape or sky, and related tabular and graphic indexes necessary for the proper identification and retrieval of these records, and 2) Conventional aerial photographs taken from aircraft produce direct film images from cameras. Other remote sensing imagery, such as that from orbiting satellites, which requires conversion or alteration of sensor data from digital, electronic, or computerized form to photographic or videographic images, must be scheduled for disposition on a case by case basis.]

**3. Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Departmental Mission. (N1-434-98-20)**

Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations.

Destroy when 75 years old.

**4. Drawings of Electrical, Plumbing, Heating or Air Conditioning Systems. (GRS 17, item 4)**

Destroy when superseded or after structure or object has been retired from service.

**5. Contract Negotiation Drawings. (N1-434-98-20)**

Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects; or drawings superseded by final working/as-built drawings.

- a. Drawings from nuclear facilities or facilities that produced or stored hazardous materials.

Cut off when no longer needed for administrative purposes. Destroy when 75 years old.

- b. All other facilities.

Destroy when superseded by as-built drawings.

**6. Space Assignment Plans.** (N1-434-98-20)

Outlined floor plans indicating occupancy of a building.

- a. Plans from nuclear facilities or facilities that produced or stored hazardous materials.

Cut off when no longer needed for administrative purposes. Destroy when 75 years old. (N1-434-98-20)

- b. All other facilities.

Destroy when superseded or after the structure or object has been retired from service. (GRS 17 item 6)

**7. Architectural Models.** (GRS 17, item 7, Exception as non-records)

Models prepared for illustrative or presentation purposes.

Destroy when no longer needed for administrative purposes, or when 10 years old, whichever is sooner.

[NOTE: These models may be offered for donation to museums or similar organizations after approval by NARA under the provisions of 36 CFR 1228.60.]

**8. Engineering Drawings of Routine Minor Parts.** (GRS 17, item 8)

Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipefittings, brackets, struts, plates, and beams, if maintained separately or they can be segregated from a larger file.

Destroy when superseded or after structure of object has been retired from service.

**9. Drawings Reflecting Minor Modifications.** (GRS 17, item 9)

Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or they are readily segregated from a larger file.



- Destroy when superseded or after structure or object has been retired from service.
- 10. Paint Plans and Samples.** (GRS 17, item 10)

Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance, and plans and samples for painting appliances, elevators, and other mechanical parts of buildings.

Destroy when superseded or after structure or object has been retired from service.

[NOTE: Paint plans and samples for the interior and exterior walls of buildings significant for historical, architectural, or technological reasons are not disposable under this item and must be scheduled by submitting an SF 115 to NARA.]

- 11. Electronic Mail and Word Processing Applications.** (N1-434-98-20)

Electronic copies of records for items 1-10 of this schedule received by electronic mail, word processing or other office automation applications.

Delete after record copy has been copied to a recordkeeping system.

### **INDUSTRIAL FACILITY RECORDS**

- 12. Biological Laboratory Records.**

EPI Biological laboratory records documenting programs under which data concerning the effect of radiation on animal and aquatic life are accumulated, evaluated, and reported.

- a. Researcher's biology notebooks containing all notes pertinent to laboratory experiments, including observations and calculations, and all other data pertinent to the experiment, including discussions by the researcher and conclusions.

- (1) Research notebooks deemed by the DOE, contractor, and the National Archives to have exceptional value because of the highly significant nature of the research involved or uniqueness of the research.

Permanent. Offer to NARA within 25 years. (NCI-430-76-4(1))

- (2) All other notebooks.

Destroy when 15 years old. (NCI-430-76-4(1))

- b. Periodic reports relating to activity and progress prepared weekly, monthly, and annually from data recorded in biology notebooks described in item a, above.

Destroy when 6 years old. (NCI-430-76-4(1))

- c. Machine-readable data taken from worksheets (see item n, below) pertaining to radiological analysis or beta analysis of animal or aquatic life, used for organization of data for entry in biology notebooks.

Retain until entered in biology notebook. (NCI-430-76-4(1))

- d. Necropsy protocols recording data collected during autopsies performed on animals, including pathologic diagnosis of various organs and glands. Provides source data for animal case histories (see item 4, below) and is pertinent to the evaluation of experimental results.

Destroy when 15 years old. (NCI-430-76-4(1))

- e. Animal cast histories recording such facts as: data from lambing records, treatment records, genealogical records, gestation periods, lambing dates, numbers, sex, and weight that are important in the evaluation of experimental results and as a source of entries to biology notebooks.

Destroy when 20 years old. (NCI-430-76-4(1))

- f. Thyroid count records consisting of tabulating cards listing data taken from animal thyroid count worksheets (see item n, below). Records provide source of data entered in biology notebooks.

Destroy when 15 years old. (NCI-430-76-4(1))

- g. Radio analysis sample data describing collected samples, counted samples, and listing the beta count, decay factor, analysis factor, and remarks. This record is useful to accumulate data for transferring to keypunch cards, and is useful during retention period for checking errors on such cards (related to item e, above).

Destroy when 2 years old. (NCI-430-76-4(g))

- h. Aquatic biology data analysis showing type of sample, location or source, counting information, laboratory correction factors, and related data.

Destroy when 2 years old. (II-NNA-1595(h))

- i. Decay curve data sheets used to identify and verify characteristics of radioactive samples tested under laboratory conditions.

Destroy when 2 years old. (II-NNA-1595(i))

- j. Absorption curve data sheets listing sample number, sample designation, data sampled and related facts, observed laboratory reactions, and corrected entries.

Destroy when 2 years old. (II-NNA-1595(j))

- k. Daily counter background reports listing counting instruments and summarizing all the background data recorded on a daily basis. Reports are transcribed to results of all requested for analysis, such as items g and h, above.

Destroy when 2 years old. (II-NNA-1595(k))

- l. Analytical requests describing samples for which laboratory analysis is desired, including results of the analysis and related facts pertinent to special or to alpha-beta-tritium counting requests. Information from this record is abstracted to biology notebooks (item a, above) for correlation and evaluation.

Destroy when 2 years old. (II-NNA-1595(l))

- m. Photomicrographic requests and requests for related photographic work, including instruction and justification.

Destroy when 2 years old. (II-NNA-1595(m))

- n. Laboratory worksheets recording data pertaining to animal birth records, animal weight, animal treatment, habit patterns, thyroid counts, and related data compiled in animal case histories and useful in evaluating of experimental results.

Destroy when 5 years old. (II-NNA-1595(n))

- o. Animal tissue preparation request listing tissues to be prepared, fix to be used in laboratory, thickness of section, stain to be used, special instructions, and schedule of completion.

Destroy when 2 years old. (II-NNA-1595(o))

- p. Radiation counter control data used to maintain correct operating conditions for radiation detection instruments.

Destroy when 1 year old. (II-NNA-1595(p))

- q. Radiation counter plateaus listing equipment number, tube number, date, time, mica window thickness, voltage, lights and total counts; used to determine and list the operating condition of radiation counters.

Destroy when 1 year old. (II-NNA-1595(q))

- r. Source data card files used to check accuracy of radiation counters against the known calibration standards published by the U.S. Bureau of Standards.

Destroy when 1 year old. (II-NNA-1595)

**13. Synoptic Meteorology Records. (II-NNA-2144 ALL)**

EPI Synoptic meteorology records accumulated to evaluate, interpret, and determine meteorological and climatological conditions bearing on engineering and contamination problems.

- a. Wind Logs recording wind speed and direction at hourly intervals and at various levels.

Destroy when 10 years old.

- b. Summary sheets recording actual and average wind speeds and direction.

Destroy when 10 years old.

- c. Reports of Synoptic Wind Observations listing wind velocities and direction at every half hour intervals in each project area.

Destroy when 10 years old.

- d. Soil and Air Temperature Logs, recording temperatures at every half hour intervals at various levels below and above surface.

Destroy when 10 years old.

- e. Solar Radiation Logs recording hourly averages and daily totals of color radiation, direct and indirect, received on a horizontal surface.

Destroy when 10 years old.

- f. Psychometric Computations figured from wet and dry bulb readings, dew point, relative humidity, and adjustment figures taken and other records.

Destroy when 10 years old.

- g. Pressure Logs listing hourly barograph readings and corrections, station pressures, and temperatures.

Destroy when 10 years old.

- h. Surface Weather Observation Data listing sky and ceiling; visibility; sea level pressure, temperature; dew point; direction, speed, and character of winds, and total sky cover.

Destroy when 10 years old.

- i. Summary records concerning pressure, sky cover, humidity, frost, fog, and miscellaneous weather phenomena, including data and readings on frontal passage and chinook inversions.

Destroy when 10 years old.

- j. Precipitation Measurements and summaries, listing water in rain gauge, snow sleet or ice on the ground, water equivalent, and unmelted amounts, together with observer's remarks.

Destroy when 10 years old.

- k. Meteorological Recorder Charts recording velocity and direction, temperature, solar radiation, thermograph and hydrograph readings, and atmospheric pressure over 24-hour periods.

Destroy when 5 years old.

- l. Pilot Balloon ascension reports, indicating elevation of balloon at minute intervals, azimuth, distance, speed, temperature, and observer's remarks.

Destroy when 2 years old.

- m. Weather Maps and Charts on which are plotted weather information received by teletype, including pseudoadiabatic charts, U.S.W.B. plotting charts and upper air charts.

Destroy when 2 years old.

- n. Background Recording Charts and monitor logs measuring miscellaneous background readings of air contamination.

Destroy when 1 year old.

#### **14. Management of Production Records.**

- EPI Production control files developed in coordinating work programs in the production of components and equipment, consisting of minutes of meetings of production personnel to work out production schedules and to adjust any difficulties arising in the production program.

Destroy 2 years after completion of individual production program. (II-NNA-1837)

#### **15. Work Permit (Work Orders) Records.**

- a. Log sheets pertaining to special work permits in operating activities, together with work order reason sheets.

Destroy when 1 year old. (II-NNA-2257(19))

- b. Work permits authorizing electrical work in processing plants, including related switching instructions.

Destroy 1 year after completion of work. (II-NNA-1598(4))

- c. Photographer's work permits, reflecting data regarding instruction in safety rules, use of safety equipment and protective clothing, and accompaniment in hazardous areas.

Destroy when 1 year old. (II-NNA-2984(5))

#### **16. Progress Reports.**

- a. Progress reports of production departments and product testing laboratories.

- (1) Weekly reports covering progress in substantive work program.

Destroy when 5 years old. (II-NNA-1941(1A))

- (2) Weekly reports covering administrative housekeeping matters.

Destroy when 2 years old. (II-NNA-1941(1B))

(3) Daily output reports.

Destroy when 1 year old. (II-NNA-1941(1C))

- b. Administrative, progress, production, and quality control reports and records, providing detail and summary data pertaining to production and quality of products such as cost; recovery; alloy variables; quantity of items produced, inspected, accepted, or rejected; and related information, exclusive of management production reports and monthly quality control progress reports. (II-NN1-2838(1))

Destroy when 1 year old.

**17. Product Management Records.**

- EPI a. Project History Files consisting of records accumulated during the course of specific production projects, such as laboratory sample reports, film slides, graphs, drawings, and related papers and correspondence.

Destroy when 5 years old. (II-NNA-1941(2))

- EPI b. Run Books providing process history of product through series of fabrication phases.

Retain until finished product is transferred to DOE. (II-NNA-2536(2))

- c. Deviation Files consisting of records approving and accepting or rejecting products which deviate from drawings, or specifications, together with revised drawings or specifications, serving as basis for inspection, reacceptance, and reconversion of material.

Destroy 10 years after date of issue. (II-NNA-2064)

- d. Quality Control Records.

- (1) Technical data files consisting of reports records documenting the quality characteristics of each product produced, and providing detailed information pertaining to composition, casting extrusion, machining, canning, testing, and inspections.

Destroy when 5 years old. (II-NNA-2838(3))

- (2) Data reflecting impurities of product metal rolled at specified temperatures.

Destroy when 2 years. (II-NNA-1527(2))

- (3) Lot fabrication and inspection records developed in quality control activities at material processing plants, of reference value only during short life of metal slug product.

Destroy when 1 year old. (II-NNA-2536(1))

- e. X-ray Film. Industrial inspection X-ray files, consisting of X-ray film made to determine physical status of products utilized in operating plants, exclusive of radiographs of equipment and materials used in nuclear systems (see item 7b).

Destroy when 1 year old. (II-NNA-675(4))

- f. Seal Files. Seal status report files consisting of daily and weekly summaries showing numbers of seals built each day; type of seal; and number transferred, issued, or used in processing operation.

Destroy when 1 year old. (II-NNA-1554(5))

## **18. Industrial Methods Records.**

- EPI a. Procedures of operating activities covering phases of operation and consisting of calibration books and makeup sheets.

Destroy when superseded. (II-NNA-2257(13))

- b. Process Work Reports pertaining to improvements in handling, operating, processing, and material quality.

Destroy when 3 years old. (II-NNA-2260(2A))

- c. Work Simplification Records consisting of case files containing detailed descriptions of plans for simplification of work or improvement in nonprocess operation.

Destroy when 2 years old. (II-NNA-2252(1))

- d. Industrial Engineering Reports pertaining to potential cost reductions or improvements to potential cost reductions or improvements in nonprocess work or separation operations.



Destroy 1 year after proposal is adopted or rejected. (II-NN1-2252(2))

- e. Sampling Checklists made out by supervisors observing sampling techniques of operators taking process samples, to determine compliance with established procedures.

Destroy when 1 year old. (II-NNA-962(4))

## **19. Production Equipment Inventory Control Records.**

- a. Production Equipment Inventory Listings.

Destroy when 2 years old. (II-NNA-310(7))

- b. Reserved

## **20. Equipment Maintenance Records.**

- a. Life of the Equipment Records. Service life of the equipment history and radiograph records.

- (1) Seal history sheets and related logbooks reflecting work performed on specific seals from time of installation until seal is no longer used, together with test sheet data reflecting facts concerning tests made on individual seals.

Destroy 1 year after seal is removed from service. (II-NNA-1554(2 and 4))

- (2) Pump history files consisting of maintenance records, including descriptions of repair work performed and material used from installation of pump until its removal from service.

Destroy 1 year after pump is removed from service. (II-NNA-1554(3))

- (3) Radiographs of reactor system welds, including coolant systems, and reactor vessels.

Destroy when equipment is removed from service. (NN-170-57(1))

- b. Monitored Equipment Records. Inspection, service, maintenance, and repair records reflecting unresolved monitored problems.

Reserved

c. Equipment Records. Inspection, service, maintenance, and repair records reflecting performance.

- (1) Pressure vessel inspection reports reflecting data concerning periodic hydrostatic tests of pressure vessels, and serving as checklists to assure compliance with specified test intervals.

Destroy after test of vessel concerned. (II-NNA-2808(2))

- (2) Gamma distribution files consisting of recorded calculations of expected gamma ray activity in reactor shields, based upon measurement data taken experimentally.

Destroy when 3 years old. (II-NNA-1527(3))

- (3) Reports of preliminary tests of equipment systems in production plants indicating readiness for operations.

Destroy 3 years after action. (II-NNA-2143)

- (4) Routine monitoring records of inspection, maintenance, or repair which reflect satisfaction performance.

- (a) Logs or supporting records recording equipment test results for:
  1. Converter status (daily reports); (II-NNA-1554(10))
  2. Cylinder pipe leaks; (II-NNA-1554(9))
  3. Individual tube (gamma tests); (II-NNA-1554(11))
  4. Valves; (II-NNA-1554(8))
  5. Valve equipment; and (II-NNA-1554(8))
  6. Industrial Inspection X-ray files consisting of X-ray film, to determine status of equipment used in operating plants. (See radiographs of reactor system welds in item 20.a (3), above.) (II-NNA-675(4))

Destroy when 1 year old.

- (b) Operators' reports of equipment failure, reflecting equipment data, failure characteristics, and circumstances leading up to interruption of operations.

Destroy when 1 year old. (II-NNA-1601(5))

**21. Reactor Operations Records.**

Reactor operating records reflecting equipment-operations data.

- a. Control room logs recording operating conditions and procedures on each shift.

Destroy when 6 years old. (II-NNA-3002(1))

- b. Shift supervisors' logbooks recording significant incidents and actions taken.

Destroy when 6 years old. (II-NNA-3002(2))

- c. Daily operations summary reports.

Destroy when 6 years old. (II-NNA-3002(3))

- d. Reactor Temperature Control Records.

- (1) Graphite data sheets listing graphite temperature inside reactors.

Destroy when 5 years old. (II-NNA-2088(2A))

- (2) Temperature and flow maps reflecting reactor power levels and providing outlet water temperatures and flow data of reactor tubes.

Destroy when 3 years old or until expended core examinations have been completed and final inspection reports issued, whichever is later  
(NN-170-57(3))

- (3) Temperature cards and tapes recording at set levels the temperature readings of individual tubes in reactors.

Destroy when 3 years old. (II-NNA-1527(1))

- e. Source records used to accumulate information summarized in items a through e, above, including checklists and logs reflecting source data recorded in connection with the operation of various reactor and associated equipment.

Production reactors, destroy 1 year after FY involved. All other reactors, destroy when 3 years old. (NN-170-57(5))

- f. Generator sheet files recording operating characteristics of fluorine or other generators, reflecting such data as voltages, temperatures, pressures, and weights.

Destroy when 2 years old. (II-NNA-152(5))

- g. Reserved

- h. Recorder charts which record temperature, pressure, flow, power fluctuation, and other data in connection with testing and control operations, exclusive of radiation detection charts; provided pertinent data is transcribed to logbooks, reports, or other records.

Destroy when 1 month old. (NN-163-145)

## **22. Materials Processing Records.**

- a. Control records pertaining to work performed in analytical laboratories.  
(II-NNA-2256 ALL)

- EPI (1) Laboratory manuals, standards, and procedures

Destroy when superseded.

- EPI (2) Laboratory logbooks describing analyses daily activities of the laboratory.

Destroy when 5 years old.

- (3) Sample receiving logs.

Destroy when 2 years old.

- (4) Special nuclear material accountability logs, provided official accountability record is retained.

Destroy when 2 years old.

- (5) Spectrograph film logs supporting analysis work.

Destroy when 2 years old.

- (6) Spectral slides used in spectrographic analysis of samples.

Destroy when 1 year old.

- (7) Analysis requests.  
Destroy when 1 year.
- (8) Analytical assay records listing results of analysis, provided pertinent data are retained in other records.  
Destroy when 1 year old.
- (9) Quality control monthly reports.  
Destroy when 1 year old.
- (10) Supervisor's shift logbooks.  
Destroy when 1 year old.
- (11) Essential materials analysis reports.  
Destroy when 1 year old.
- (12) Investigations of high hand scores, provided significant data pertaining to individuals are retained in other records.  
Destroy when 1 year old.
- (13) Comparative analysis logs pertaining to samples analyzed by two different methods for the same test.  
Destroy when 1 year old.
- (14) Daily sample report.  
Destroy when 1 year.
- b. Analytical logbooks recording analyses of samples in separation operations activities for quality control purposes.  
Destroy when 3 years old. (II-NNA-2258(1))
- c. Sample Analysis Data accumulated by work laboratories in production materials for quality or other control purposes.

Destroy when 2 years old. (II-NN1-2063)

- d. Batch Information consisting of technical, analytical, or statistical data pertinent to chemical makeup or process batches, provided information pertinent to product history is transcribed to records which are retained.

Destroy when 1 year. (II-NNA-1521(2))

- e. Sample Reports on chemical solutions, used for control of process variables.

Destroy when 1 year old. (II-NNA-2258(10))

- EPI f. Process transfer records of metals, solids, or solutions used for operational control purposes.

Destroy when 1 year old. (II-NNA-2258)

- g. Slug Storage Records. Slug storage basin records listing quantities and types of slugs awaiting processing.

Destroy when 1 year old. (II-NN-2258(9))

- h. Sample History Sheets recording history of uranium sample.

Destroy when 1 year old. (II-NNA-1554(12))

### **23. Barrier Records.**

- a. Barrier Retubing Inventories consisting of reports compiled daily showing amount of barrier material received and transferred, usage made, amount on hand, and scrap inventory of broken or rejected tubes.

Destroy when 2 years old. (II-NNA-1554(6))

- b. Inventory and Transfer Files serving as accountability records for barrier materials.

Destroy when 1 year old. (II-NNA-1554(13))

- c. Barrier progress and Usage Reports Files pertaining to maintenance of barrier materials in processing operations, reflecting type length, and number of barrier tubes installed; number broken and rejected; and the number of plugs in each converter.

Destroy when 1 year old. (II-NNA-1554(7))

**24. Special Research and Reactor Materials Allocations Files.**

Special research and reactor materials allocations files consisting of records concerning estimated requirements of Beryllium, Zirconium, Hafnium, Heavy Water, and Graphite.

- EPI a. Files of offices with authority to make allocations, together with related correspondence.

Destroy when 3 years old. (II-NNA-1735(3A))

- EPI b. Files of operations offices, consisting of estimates submitted by contractors projecting special material needs over a 3 year period.

Destroy when 2 years old. (II-NNA-1735(3B))

- EPI c. Files of requesting agencies, consisting of retained copies of Form AEC-272, "Special Materials Allocation request and Projected Requirement Information," or equivalent form, together with pertinent correspondence.

Destroy when 2 years old. (II-NNA-2735(3D))

- EPI d. Files of approved allocations in area offices which handle the supplying of special materials.

Destroy when 2 years old. (II-NNA-2735(30))

- EPI e. Essential Material Reports of operating activities, showing beginning and ending inventories, receipts, disbursements, and consumption.

Destroy when 5 years old. (II-NNA-2257(9))

- EPI f. Accountability Reports showing uranium transfer between operating activities for ready reference by supervisors. (This data is also recorded in morning reports and log books which are retained indefinitely.)

Destroy when 2 years old. (II-NNA-2257(15))

- EPI g. Essential (non-SS) Materials Accountability. Files documenting the receipt, transfer, and shipment of essential materials (other than SF materials) and consisting of worksheets, inventories, ledgers, reports, and other source records providing

detail for reconciliations and accounting audits.

Destroy when 2 years old. (II-NNA-2838(2))

- EPI h. SS Material Accountability and Transfer Files (inter and intraplant transfers) consisting of records utilized within an SS station to account for transfers from one unit to another within plant or facility or between such plants.

Destroy when 1 year old providing Departmental audit has been completed.  
(NN-165-90)

- EPI i. Daily Line Operations Reports. Reports or logs prepared daily primarily for line operations including operating and maintenance information, shift and status, essential material and chemical tank inventories, and technical, analytical, or statistical data pertinent to chemical or process materials or solutions.

Destroy when 1 year old. (II-NNA-962(3))

- EPI j. Feed and Waste Reports Files consisting of records which reflect physical inventory of material on hand at beginning of each day, depleted feeds, waste withdrawals, and other processing data used in measuring daily performance and to assist in locating foreign materials.

Destroy when 5 years old. (II-NNA-1598(2))

- EPI k. Product Withdrawal Sheets reflecting gross, tare, and net weights of produce withdrawn from each cylinder in processing plants.

Destroy when 2 years old. (NN-170-21)

- l. SS Material Shipping form Files consisting of DOE/NRC Form 741 or equivalent, used in the transfer of source and special nuclear materials or other materials controlled by the SS materials accountability system.

- EPI (1) Copies filed in DOE offices.

Destroy when 3 years old. (II-NNA-3225(1))

- EPI (2) Copies filed in shipping and receiving contractor installations.

Destroy after audit by DOE accountability survey teams. (II-NNA-3225(2))



- EPI m. Reports of Shipper-Receiver Measurement Differences filed in shipping and receiving installations, pertaining to transfers of SS material between installations under the same or under different operations offices, and containing conclusions, recommendations, and resolutions of the measurement differences.  
(II-NNA-1735(7))
- (1) Copies forwarded to staff division administering SF accountability system.  
Destroy when 3 years old.
- (2) Copies filed in operations offices and in shipping and receiving installations.  
Destroy when 2 years old.

**25. Facility Inventory Records.**

Files accumulated by contractors acting as agents for DOE in connection with the execution of leases for the operation of commercial or other facilities, or other uses of Government property under lease.

- a) Inventory Lists.  
Destroy 6 years after close of fiscal year in which inventory is superseded.  
(II-NNA-2067(1))

**26. Facility Maintenance Records.**

Facility maintenance records, including inspection servicing, and repair records.

- a) Boilers, electric motors, and unfired pressure vessels.  
Destroy after 5 years. (NC-430-76-2)
- b) Others.  
Destroy 3 fiscal years after close of fiscal year in which work is done.  
(NN-167-124)

**27. Management Records.**

- a) Power and Utility Plant Operational Source Records, including checklists, logs, inspection sheets, and other forms and records used to record the procedural steps followed by the operators; and instrument recorder charts, tapes, and graphs reflecting source data recorded in connection with the operation of various power and utility equipment.

Destroy after 3 months. (NN-167-124)

**2. Equipment History Files.**

- a) Records which document receipt, use, and disposition of equipment items, including manufacturer's statement of origin, equipment repair estimates, repair orders and billings, inspection reports, move orders, and any other records effecting or reflecting alterations of status of equipment, including reference notes to excess or salvage records when such action is taken.

Dispose 5 years after disposal or clearance of equipment from project.  
(II-NNA-716A(3))

- b) Property Transfer Files documenting accountability transfers of property and equipment.

- (1) Copy in property accountability office

Destroy when 4 years old. (II-NNA-845)

- (2) Copy in offices transferring property.

Destroy when 1 year old. (II-NNA-845))

**3. Equipment Utilization Report Files.**

Records accumulated in the control of issuance and use of equipment, providing needs on project, showing classification of equipment, scheduled and actual hours of operation, hours idle, and pertinent.

Destroy when 5 years old. (II-NNA-716(2))

**4. Project Planning and Design Files. (NCI-434-78-2 ALL)**

a) Initial Design Planning Records.

Until project completion (see item b., below, for exception) or upon project termination whichever is earlier.

b) Records selected for architectural, historical, and technological significance (see note at end of schedule for selection criteria).

Permanent. Offer to NARA when file is inactive. (See first paragraph of introduction to this schedule.)

- (1) Project description, location, engineering/design costs and performance schedule.
- (2) Architectural renderings and final architectural and engineering drawings (selected to adequately depict the principal architectural and engineering features).
- (3) Special engineering/design reports, studies, and data (for projects of technological or architectural significance).
- (4) Construction Completion Reports.
- (5) Models.

EPI c) Other Planning and Design Record. (Advanced planning, preliminary and final design, and engineering/design studies, calculations, analyses, and other engineering/design data documenting design decisions made.)

- (6) Records of completed projects costing more than \$750,000, or which involve special equipment, systems, or processes.

Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier. (See item b., above, for exception.)

- (7) Records of completed projects costing \$750,000, or less, which do not involve special equipment, systems, or processes.

10 years after completion of project.

- (8) Records of terminated projects (projects not authorized for design, construction, or fabrication; or terminated prior to completion of any of these activities) costing more than \$750,000, or which involve special equipment, systems, or process projects.

10 years after project is terminated. (See item b., above for exception)

- (9) Records of terminated projects (projects not authorized for design, construction or fabrication, or terminated prior to completion of any of these activities) costing \$750,000, or less which do not involve special equipment, systems, or process projects.

5 years after project is terminated.

- (10) Miscellaneous planning and design records, information and correspondence, essential to performance of the processes but not essential for project record purposes (such as interim progress reports, preliminary drawings and specifications, and other in-process documentation or information).

Until project completion or termination, whichever is earlier.

## **5. Project Construction Files. (NCI-434-78-2 ALL)**

- a) Working drawings and construction specifications, “as-built” drawings, shop drawings, standard drawings, repair and alteration drawings, equipment specifications, operating and maintenance manuals, equipment warranty data, final inspection and acceptance reports, construction cost and schedule data, space assignment plans, and other essential information to document the construction process.

- EPI (1) For completed projects.

Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier. (See item d., below for exceptions.)

- (2) For projects terminated prior to construction completion.

5 years after construction is terminated.

- b) Construction Completion Reports. (Documented summary of the project, from design through construction completion.)

EPI (1) For unique or special-interest by projects.

20 years, unless covered by exception in d., below.

EPI (2) For other projects.

Until dismantlement or disposal of the facility, equipment, or process; or when superseded or obsolete, whichever is earlier.

c) Miscellaneous Construction Records. Information, correspondence, and other records developed during the construction process, essential to performance of the process but not essential for project record purposes following project completion.

Until project completion.

d) Records selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).

Permanent. Offer to NARA when file is inactive. (See first paragraph of introduction to this schedule.)

(1) Project description, location, construction costs and performance schedules.

(2) “As-built” architectural and engineering drawings (selected to adequately depict the principal architectural and engineering features).

(3) Photographs of completed project.

(4) Construction Completion Reports.

e) Finding Aids.

Indexes and other finding aids to design construction files.

Destroy in accordance with and instruction covering the related design and construction records.

## **6. Quality Assurance Records. (NCI-434-78-2)**

Quality Assurance records prepared, received and maintained in conjunction with the design, manufacture, construction, installation, test, and operation of equipment, structures,

plants, and systems. (Reference for nuclear facilities: ANSI/ASM NQA-1-1986 Edition.)

- EPI a) Records which would be of significant value in demonstrating capability for safe operation; in maintaining, reworking, repairing, replacing or modifying the item; in determining the cause of an accident or malfunction of the item; and those which provide baseline data for in service inspection.

Until the item is removed from service.

- b) Records which verify that an activity was performed in accordance with the applicable requirement but need not be retained for the life of the plant or item.

- (1) Records maintained in compliance with regulatory requirements.

Retain in accordance with current regulatory requirements or for nuclear facilities, 6 years after plant or item is put into operation.

- (2) Records for nuclear facilities item which are useful through first overhaul or reload.

2 years after plant or item is put into operation or after first overhaul or reload, whichever is later.

- (3) Records which are needed to process and support claims made under the warranty.

1 year after plant or item is put into operation or upon expiration of warranty, whichever is later.

- (4) Until day after plant or item is put into operation.

Items 1b and 2d